

**UTILITY
PATENT APPLICATION
TRANSMITTAL**

(Only for new nonprovisional applications under 37 C.F.R. § 1.53(b))

| | | | |
|---|-----------------|-------------|---|
| Attorney Docket No. | UK02-016 | Total Pages | 2 |
| First Named Inventor or Application Identifier: Balsamo, Stefano | | | |
| Title: Electro-Optical Modulators And Methods Of Modulating Optical Signals | | | |
| Express Mail Label No. | EV 327190363 US | | |

CERTIFICATE OF EXPRESS MAIL UNDER 37 CFR 1.10:

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated below and is Addressed to Mail Stop Patent Application, Commissioner of Patents, P.O. Box 1450, Alexandria, VA 22313-1450

on Nov. 21, 2003
(Date)
Signature Ronald J. Paglierani
Ronald J. Paglierani

"EXPRESS MAIL" Mailing Label No. **EV 327190363 US**

ADDRESS TO:
Mail Stop Patent Application
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P.O. Box 1450
Alexandria, VA 22313-1450



- | | |
|--|--|
| <p>1. <input checked="" type="checkbox"/> * Fee Transmittal Form (Submit an original and a duplicate for fee processing)</p> <p>2. <input checked="" type="checkbox"/> Specification [Total Pages <u>11</u>] (preferred arrangement set forth below)</p> <ul style="list-style-type: none">- Descriptive title of the Invention- Cross References to Related Applications- Statement Regarding Fed sponsored R&D- Reference to Microfiche Appendix- Background of the Invention- Brief Summary of the Invention- Brief Description of the Drawings (if filed)- Detailed Description- Claim(s)- Abstract of the Disclosure <p>3. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. § 113) [Total Sheets <u>7</u>]</p> <p>4. <input type="checkbox"/> Oath or Declaration [Total Pages <u>3</u>]</p> <p>a. <input checked="" type="checkbox"/> Executed (original or copy)</p> <p>b. <input type="checkbox"/> Copy from a prior application (37 C.F.R. § 1.63(d)) (for continuation/divisional with Box 16 completed)</p> <p>i. <input type="checkbox"/> DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).</p> | <p>5. <input type="checkbox"/> Microfiche Computer Program (Appendix)</p> <p>6. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)</p> <p>a. <input type="checkbox"/> Computer Readable Copy</p> <p>b. <input type="checkbox"/> Paper Copy (identical to computer copy)</p> <p>c. <input type="checkbox"/> Statement verifying identity of above copies</p> |
|--|--|

ACCOMPANYING APPLICATION PARTS

- | | |
|--|--|
| <p>7. <input checked="" type="checkbox"/> Assignment Papers (cover sheet & document(s))</p> <p>8. <input type="checkbox"/> 37 C.F.R. § 3.73(b) Statement (when there is an assignee) <input type="checkbox"/> Power of Attorney</p> <p>9. <input type="checkbox"/> English Translation Document (if applicable)</p> <p>10. <input checked="" type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input checked="" type="checkbox"/> Copies of IDS Citations</p> <p>11. <input checked="" type="checkbox"/> Preliminary Amendment</p> <p>12. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) (should be specifically itemized)</p> <p>14. <input checked="" type="checkbox"/> Certified Copy of Priority Document(s) (if foreign priority is claimed)</p> | <p>15. <input type="checkbox"/> Other:</p> |
|--|--|

16. If a **CONTINUING APPLICATION**, check appropriate box, and supply the requisite information below and in a preliminary amendment:

☐ Continuation ☐ Divisional. ☐ Continuation-in-part (CIP) of prior application No

Prior application information: Examiner:

Group / Art Unit:

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

17. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label 22928 or ☐ Correspondence address below

| | | | | | |
|-------------------|---------------------------------|-----------|--------------|-----------------------------------|----------------------|
| NAME | Ronald J. Paglierani | | | | |
| ADDRESS | Corning Incorporated, SP-TI-3-1 | | | | |
| CITY | Corning | STATE | NY | ZIP CODE | 14831 |
| COUNTRY | USA | TELEPHONE | 607-974-3332 | FAX | (607) 974-3848 |
| Name (Print/Type) | Ronald J. Paglierani | | | Registration No. (Attorney/Agent) | 29,201 |
| Signature | <u>Ronald J. Paglierani</u> | | | Date | <u>Nov. 21, 2003</u> |

FEE TRANSMITTAL for FY 2003

C mplete if Kn wn

| | |
|------------------------|--------------------------|
| Application Number | To Be Assigned |
| Filing Date | Herewith |
| First Named Inventor | Balsamo, Stefano, et al. |
| Examiner Name | To Be Assigned |
| Group / Art Unit | To Be Assigned |
| Attorney Docket Number | UK02-016 |

TOTAL AMOUNT OF PAYMENT (\$770.00)

METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number **03-3325**

Deposit Account Name **Corning Incorporated**

- ☒ Charge Any Additional Fees Required Under 37 C.F.R. §§ 1.16 and 1.17

2. ☐ Payment Enclosed:

☐ Check ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

| Large Entity | Fee | Fee | Fee Description | Fee Paid |
|--------------|------|-----|-----------------|----------|
| Code | (\$) | | | |

| | | | |
|------|-----|------------------------|--------|
| 1001 | 770 | Utility filing fee | 770.00 |
| 1002 | 340 | Design filing fee | |
| 1003 | 530 | Plant filing fee | |
| 1004 | 770 | Reissue filing fee | |
| 1005 | 160 | Provisional filing fee | |

SUBTOTAL (1) (\$770.00)

2. EXTRA CLAIM FEES

Extra Fee from
Claims below Fee Paid

Total Claims 10 - 20** = 0 x 18 = 00.00

Independent Claims 2 - 3** = 0 x 86 = 00.00

Multiple Dependent 0 = 0.00

**or number previously paid, if greater; For Reissues, see below

Large Entity

| Fee | Fee | Fee Description |
|------|------|--|
| Code | (\$) | |
| 1202 | 18 | Claims in excess of 20 |
| 1201 | 86 | Independent claims in excess of 3 |
| 1203 | 290 | Multiple dependent claim, if not paid 0 |
| 1204 | 86 | ** Reissue independent claims over original patent |
| 1205 | 18 | ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$00.00)

FEE CALCULATION (continued)

3. ADDITIONAL FEES

| Large Entity | Fee | Fee | Fee Description | Fee Paid |
|--------------|-------|-----|--|----------|
| Code | (\$) | | | |
| 1051 | 130 | | Surcharge - late filing fee or oath | |
| 1052 | 50 | | Surcharge - late provisional filing fee or cover sheet | |
| 1053 | 130 | | Non-English specification | |
| 1812 | 2,520 | | For filing a request for reexamination | |
| 1804 | 920* | | Requesting publication of SIR prior to Examiner action | |
| 1805 | 1,840 | | Requesting publication of SIR after Examiner action | |
| 1251 | 110 | | Extension for reply within first month | |
| 1252 | 420 | | Extension for reply within second month | |
| 1253 | 950 | | Extension for reply within third month | |
| 1254 | 1,480 | | Extension for reply within fourth month | |
| 1255 | 2,010 | | Extension for reply within fifth month | |
| 1401 | 330 | | Notice of Appeal | |
| 1402 | 330 | | Filing a brief in support of an appeal | |
| 1403 | 290 | | Request for oral hearing | |
| 1451 | 1,510 | | Petition to institute a public use proceeding | |
| 1452 | 110 | | Petition to revive - unavoidable | |
| 1453 | 1,330 | | Petition to revive - unintentional | |
| 1501 | 1,330 | | Utility issue fee (or reissue) | |
| 1502 | 480 | | Design issue fee | |
| 1503 | 640 | | Plant issue fee | |
| 1460 | 130 | | Petitions to the Commissioner | |
| 1807 | 50 | | Petitions related to provisional applications | |
| 1806 | 180 | | Submission of Information Disclosure Stmt | |
| 8021 | 40 | | Recording each patent assignment per property (times number of properties) | |
| 1809 | 770 | | Filing a submission after final rejection (37 C.F.R. § 1.129(a)) | |
| 1810 | 770 | | For each additional invention to be examined (37 C.F.R § 1.129(b)) | |
| 1801 | 770 | | Request for Continued Examination (RCE) | |
| 1802 | 900 | | Request for expedited examination of a design application | |

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

SUBMITTED BY

Completed (if applicable)

| | | | |
|-------------------|-----------------------------|-----------------------------------|---------------|
| Name (Print/Type) | Ronald J. Paglierani | Registration No. (Attorney/Agent) | 29,201 |
| Signature | <i>Ronald J. Paglierani</i> | Date | Nov. 21, 2003 |